

Receipt  
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2002/EP/10/31/MON 03:12 PM IP LEGAL - CLARIANT

FAX No. 704 331 7707

P. 001



Practitioner's Docket No. 2002DE429

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Uwe FALK, et al.

Application No.: 10/525,151

Group No.: 1712

Filed: 02/18/2005

Examiner: unknown

For: Copolymers Made Of Alkylene Oxides And Glycidyl Ethers And Use  
Thereof As Polymerizable Emulsifiers

Mail Stop: Office of Initial Patent Examination's (OIPE)

Filing Receipt Corrections

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

- Attached is a copy of the official filing receipt received from the PTO dated August 5, 2005, in the above application for which issuance of a corrected filing receipt is respectfully requested.
- There are errors with respect to the following, which are incorrectly entered. Attached for verification is a copy of the Official Filing Receipt dated August 5, 2005, a copy of the executed Combined Declaration and Power of Attorney and a copy of the Transmittal Letter, all of which were filed with the office on February 18, 2005. Also enclosed is a copy of the postcard receipt.

Error in

- Applicant(s)
- Domestic Priority data as claimed by applicant

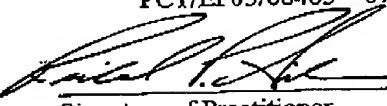
Date: October 31, 2005

Reg. No.: 36,277  
Tel. No.: 704-331-7156  
Customer No.: 25,255

Correct data

Klaus POELLMANN

PCT/EP03/08463 – 07/31/2003

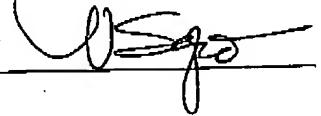
  
Signature of Practitioner  
Richard P. Silverman  
Clariant Corporation  
Industrial Property Department  
4000 Monroe Road  
Charlotte, NC 28205

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\*

I hereby certify that, on the date shown below, this correspondence is being:

TRANSMISSION

facsimile transmitted to the Patent and Trademark Office, (571) 273-2885.

  
Signature

Date: October 31, 2005

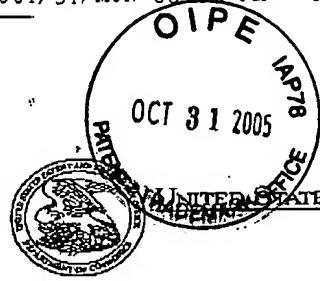
Vicki L. Sgro

(type or print name of person certifying)

2005/OCT/31/MON 03:12 PM IP LEGAL - CLARIANT

FAX No. 704 331 7707

P. 002



Page 1 of 3

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
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| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE RECD | ATTY.DOCKET NO | DRAWINGS | TOT.CLMS | IND CLMS |
|------------|---------------------------|----------|--------------|----------------|----------|----------|----------|
| 10/525,151 | 02/18/2005                | 1712     | 900          | 2002DE429      |          | 4        | 1        |

## CONFIRMATION NO. 5266

25255  
CLARIANT CORPORATION  
INTELLECTUAL PROPERTY DEPARTMENT  
4000 MONROE ROAD  
CHARLOTTE, NC 28205

## FILING RECEIPT



\*OC000000016690994\*

Date Mailed: 08/05/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Uwe Falk, Bruchkoebel, GERMANY;  
Hendrik Ahrens, Frankfurt am Main, GERMANY;  
Klaus Hoehster Poellmann, Burghausen, GERMANY;  
Martin Glos, Muehldorf, GERMANY;  
Eckart Kraemer, Wiesbaden, GERMANY;

Power of Attorney: The patent practitioners associated with Customer Number 25255.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP03/08463 07/13/2003

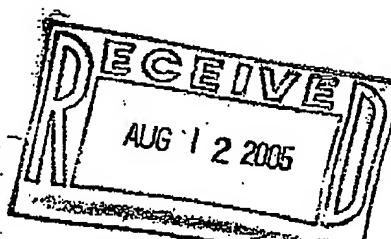
## Foreign Applications

GERMANY 102 38 232.8 08/21/2002  
GERMANY 102 39 932.8 08/30/2002

Projected Publication Date: 11/10/2005

Non-Publication Request: No

Early Publication Request: No



**Title**

Copolymers made of alkylene oxides and glycidyl ethers and use thereof as polymerisable emulsifiers

**Preliminary Class**

525

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an International application under the Patent Cooperation Treaty (PCT). An International (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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2002DE429 US

**COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY**

As below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**Copolymers made of alkylene oxides and glycidyl ethers and use thereof as polymerizable emulsifiers**

the specification of which

is attached hereto  
 was filed on July 31, 2003 as PCT/EP03/08463

and including all the amendments through the date hereof.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 35, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

**Prior Foreign Application(s) for which Priority is Claimed:**

Federal Republic of Germany, 102 38 232.8 of 21. August 2002  
Federal Republic of Germany, 102 39 932.8 of 30. August 2002

As a named inventor, I hereby appoint the following registered practitioner(s), respectively and individually, as my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application, and transact all business in the U.S. Patent and Trademark Office:

**CUSTOMER NUMBER 25,255**

Please address all communications to Clariant Corporation, Industrial Property Department,  
4000 Monroe Road, Charlotte, North Carolina 28205, telephone number 704/331-7140,  
facsimile number 704/331-7707.

2002DE429 US

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

## INVENTOR(S) / Residence

1) Dr. Uwe FALK, Loensstraße 8, 63486 Bruchköbel, Germany

Signature: *Uwe Falk* Date: 03.12.2004

2) DI. Hendrik AHRENS, Neu-Zeilsheim 89, 65931 Frankfurt am Main, Germany

Signature: *Hendrik Ahrens* Date: 03.12.04

3) Dr. Klaus PÖLLMANN, Höchster Str. 17, 84489 Burghausen, Germany

Signature: *Klaus Pöllmann* Date: 15.12.04

4) Dr. Martin GLOS, Stadtplatz 22, 84453 Mühldorf, Germany

Signature: *Martin Glos* Date: 14.12.04

5) Dr. Eckart KRAEMER, Niederwaldstr. 11, 65187 Wiesbaden, Germany

Signature: *Eckart Kraemer* Date: 20.12.04

Citizenship: 1) – 5) German

Post Office Address of all Inventors:

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65843 Sulzbach  
Germany

2005XOCT31 MON 03:14 PM

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FAX No. 704 331 7707

P. 007

PTO-1390 (Rev. 12-2004)

Valid for use through 3/31/2007. OMB 0651-0021.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|  |   |   |
|--|---|---|
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>  |   | <b>ATTORNEY'S DOCKET NUMBER</b><br><b>2002DE429</b>                           |
|  |   | <b>U.S. APPLICATION NO. (if known, see 37 CFR 1.6)</b><br><b>unknown</b>      |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/EP03/08463</b>   | INTERNATIONAL FILING DATE<br><b>31 July 2003 (31.07.2003)</b> | PRIORITY DATE CLAIMED<br><b>21 August 2002 (3.08.2002) and 30 August 2002</b> |
| <b>TITLE OF INVENTION</b> Copolymers Made Of Alkylene Oxides And Glycidyl Ethers And Use Thereof As Polymerizable Emulsifiers  |   |   |
| <b>APPLICANT(S) FOR DO/EO/US</b> Uwe FALK, Hendrik AHRENS, Klaus POELLMANN, Martin GLOS and Eckart KRAEMER   |   |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |   |   |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input checked="" type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> |   |   |
| Items 11 to 20 below concern document(s) or information included:  |   |   |
| <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: Express Mail # ER 913329789 US; copy of International Search Report.</p>   |   |   |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop, PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Page 1 of 2

PTO-1380 (Rev. 12-2004)

Approved for use through 3/31/2007. OMB 0651-0021

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|   |              |   |            |  |                 |
|---|--------------|---|------------|--|-----------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)   |              | INTERNATIONAL APPLICATION NO.<br>PCT/EP03/08463                               |            | ATTORNEY'S DOCKET NUMBER<br>2002DIE429 |                 |
| 21. The following fees are submitted:   |              |   |            | Applicant use                          | Office use only |
| <input checked="" type="checkbox"/> a) Basic national fee..... \$300.00   |              |   |            | \$ 300.00                              |                 |
| <input checked="" type="checkbox"/> b) Examination fee..... \$200.00  |              |   |            | \$ 200.00                              |                 |
| <input checked="" type="checkbox"/> c) Search fee..... \$500.00   |              |   |            | \$ 500.00                              |                 |
| TOTAL OF ABOVE CALCULATIONS = \$1000.00   |              |   |            | \$ 1,000.00                            |                 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |   |            |  |                 |
| Total Sheets  | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) |            | RATE                                   |                 |
| 23 - 100 =  | - 77 /50 =   |   |            | x \$250.00                             | \$ 0.00         |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |   |            | \$ 0.00                                |                 |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE       | \$                                     |                 |
| Total claims  | 4 - 20 =     | 0   | x \$50.00  | \$ 0.00                                |                 |
| Independent claims  | 1 - 3 =      | 0   | x \$200.00 | \$ 0.00                                |                 |
| MULTIPLE DEPENDENT CLAIM(S) (If applicable)   |              |   |            | + \$360.00                             | \$ 0.00         |
| TOTAL OF ABOVE CALCULATIONS =   |              |   |            | \$ 1,000.00                            |                 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |   |            | \$ 0.00                                |                 |
| SUBTOTAL =  |              |   |            | \$ 1,000.00                            |                 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |   |            | + \$ 0.00                              |                 |
| TOTAL NATIONAL FEE =  |              |   |            | \$ 1,000.00                            |                 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |            | + \$ 40.00                             |                 |
| TOTAL FEES ENCLOSED =   |              |   |            | \$ 1,040.00                            |                 |
| Amount to be refunded:  |              |   |            | \$                                     |                 |
| Amount to be charged:   |              |   |            | \$                                     |                 |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>03-2060</u> in the amount of \$ <u>1,040.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2060</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> |              |   |            |  |                 |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  |              |   |            |  |                 |
| SEND ALL CORRESPONDENCE TO:<br>Richard P. Silverman<br>Clariant Corporation<br>Intellectual Property Department<br>4000 Monroe Road<br>Charlotte, NC 28205  |              |   |            |  |                 |
| <br>SIGNATURE<br><u>Richard P. Silverman</u><br>NAME<br><u>36,277</u><br>REGISTRATION NUMBER  |              |   |            |  |                 |



MON 03:15 PM IP LEGAL - CLARIANT

FAX No. 704 331 7707

P. 009

- In re **NEW** international patent application of: Mail Stop: \_\_\_\_\_

Inventors: Uwe FALK, Hendrik AHRENS, Klaus POELLMANN, Martin GLOS and

Eckart KRAEMER \*

Filed: February 18, 2005

For: Copolymers Made Of Alkylene Oxides And Glycidyl Ethers  
And Use Thereof As Polymerizable Emulsifiers

International Application No.: PCT/EP03/08463

International Filing Date: 31 July 2003 (31.07.2003)

Priority Filing Dates: 21 August 2003 (21.08.2002)

30 August 2002 (30.08.2002)

10/525151

The impressed Mail Room date stamp acknowledges receipt on the date indicated of:

- CERTIFICATION UNDER 37 CFR 1.10 (Express Mail) (1 page)
- TRANSMITTAL LETTER TO THE DO/EO/US (2 pages) w/ duplicate (4 pages)
- Executed Assignment with Transmittal Cover Letter (2 pages)
- Copy of Search Report (2 pages)
- Transmittal Letter Notification of Amendments Under PCT Article 34 with 1 pg of Annex (2 pg)
- Preliminary Amendment with Abstract (05 pages)
- ENGLISH TRANSLATION OF APPLICATION (22 PAGES SPECIFICATION, claims)  
(claims 04 in number)
- Executed Declaration (2 pages)

DT02 Rec'd PCT/PTO 18 FEB 2005 QD

Docket No. 2002DE429  
Express Mail Label Number ER913329789 US  
Date of Mailing: February 18, 2005